Chief Information Officer's IT Portfolio Review

Office of the Chief Financial Officer

March 24, 2016

- FITARA requirements for CIO engagement in:

  – IT Budget Formulation

  – Responsibility for delivery of IT benefits

  – IT Acquisition Approval

  – Adoptions of Agile development practices

  – IT Governance

  – Approval/oversight of "Bureau CIOs"

  – Joint participation with OCFO, OAM, and Program Offices to achieve these goals

- Overview of Organizational Vision, Mission, and Priorities

- Review

  - OCFO IT Governance

  - OCFO CPIC Investments

  - OCFO IT Acquisition Plans

  - OEI services for OCFO

  - OCFO READ entries

- Document action plan moving forward

OFFICE OF THE CHIEF FINANCIAL OFFICER (OCFO)
Effective March 6, 2016
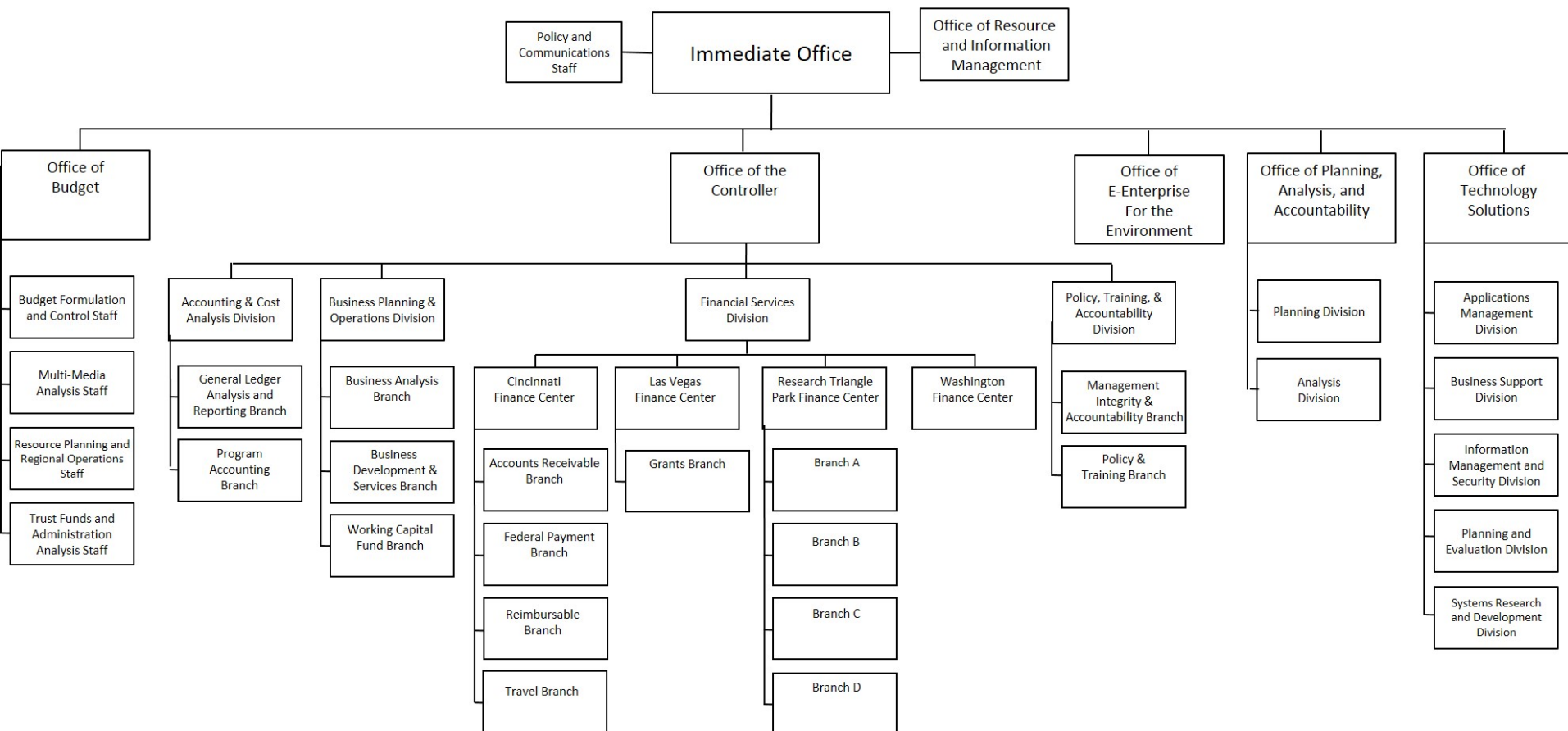
Office of the Chief Financial Officer

- Our Vision

- Our Mission

    - *The Office of the Chief Financial Officer, under the supervision of the Chief Financial Officer (CFO), is responsible for developing, managing, and supporting a goals-based management system for the Agency that involves strategic planning and accountability for environmental, fiscal, and managerial results; Agency-wide budget, resources management and financial management functions including program analysis and annual planning, budget formulation, preparation and execution; controls and systems for payroll and disbursements.*

- Our Goals (Draft)

    Goal 1: *Sustain operational excellence through a culture of continuous improvement, an exemplary workforce, and customer centric service delivery*.
    Goal 2: *Develop and manage IT systems and tools to support agency decision-making, resource management, and oversight.*

    Goal 3: *Promote partnerships and collaboration at all levels and across all organizations.*

    Goal 4: *Enhance strategic and financial decision support through data integrity and analysis.*

- Our IT Priorities (See Executive Dashboard, attachment)

*Currently updating the Vision, Mission, Goals and Objectives.

- Deliver IT systems and tools that meet or exceed operational service level agreements and designed requirements.

- Institutionalize One OCFO Systems Governance to deliver Federal / Agency / OCFO Priorities.

- Implement an enterprise architecture approach to support the OCFO Systems Governance.

- Provide O&M support across OCFO Systems.

- Enhance integrated project management capability to deliver integrated business and technical requirements.

- Enhance the integration of stakeholder and customer feedback to enable effective decision-making, resource management, and oversight.

- First Step taken in December 2015 to establish expectations by identifying issues / challenges

  - Governance design and application

  - Consistent application of System Life Cycle Management Approach

    – Analyze Business Needs

    – Requirements Definition

    – Development

    – Implementation

    – Operations & Maintenance

  - Consistent project management

    – Defined integrated project schedules

    – Clearly understanding project dependencies

    – Establishing scope and resource needs

    – Risk and Stakeholder evaluation

    – Change Management / Communication

  - Establishing priorities within capacity. Address the problem: IT projects were driving operational priorities.

EA

Acquisitions	Data	Systems	Communications
Hardware	Software	Security	Resources
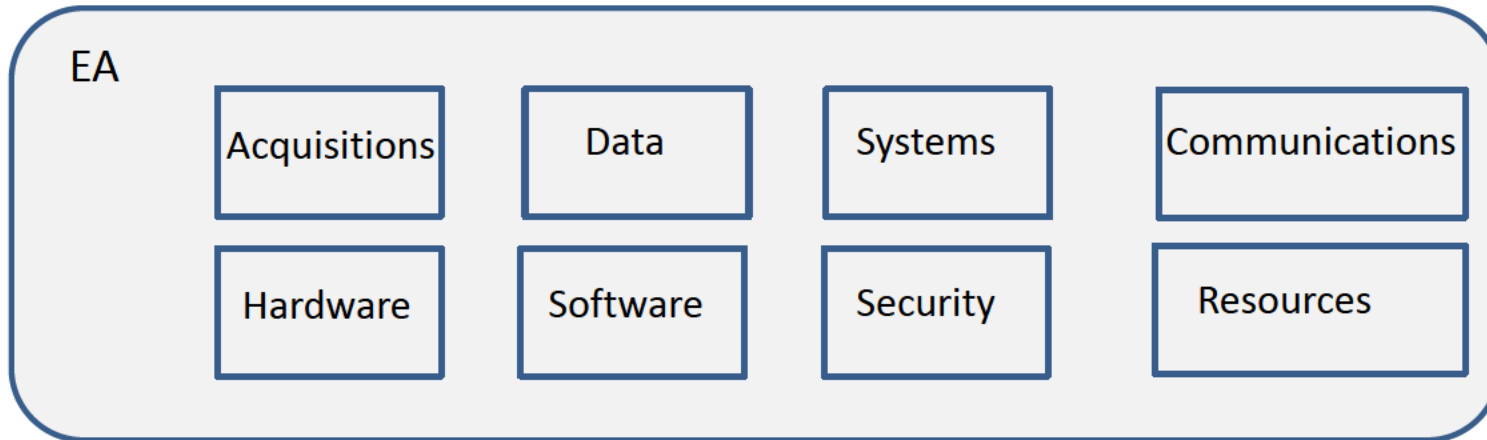
In OCFO, IT Governance is carried out by the Functional Review Board (FRB) and the Change Control Board (CCB).

- The FRB reviews and prioritizes change requests, actions to address system defects, and IT project proposals; and provides recommendations to the CCB. The FRB is also charged with obtaining the customer perspective of key stakeholders to develop the recommendations.

- The CCB is responsible for taking an enterprise perspective to managing the OCFO IT portfolio. This includes assessing and approving or disapproving the FRB recommendations.

Change Control Board

Voting Members – Comprised of the following:

Chair – Howard Osborne, Associate CFO/SIO
Members – Directors:
- Office of Technology Solutions
- Office of the Controller
- Office of Planning, Analysis & Accountability
- Office of Budget
- Office of Resource & Information Management

Attendees –Finance Center Directors, All Change Request (CR) submitters and representatives from all involved development teams, Information Management Officer (IMO), Primary ISO, Project Managers (PMs), as needed.

Functional Review Board

Members – Comprised of the following:

Chair – Director, Information Mgt and Security Division, appointed by the Director, OTS.
Voting Members – Comprised of representatives from the Office of the Controller, Office of Budget, and Office of Resource and Information Mgt. The primary and alternate representatives are appointed by their respective office directors.
Non-Voting Member – the OCFO Lead Regional Coordinator.
Attendees – Finance Center Directors (or designee), OARM IMO, All Change Request (CR) submitters and representatives from all involved development teams, Information System Security Officer (ISSO), Project Managers (PMs), as needed.

EPA

- **Continue implementation of revised Governance design and execution**

    – Continue to mature governance processes to include evaluation and ranking requests

    – Update existing charters

    – Continue to expand project dashboard

    – Full integration of Security / Policy considerations

- **Evaluate capacity and status of all approved projects (to include O&M)**

    – On-going evaluation of priority projects

    – Continue to mature defining operational needs and opportunities to identify process improvements prior to defining IT requirements

    – Needs captured in FY16 Operating Plan strategy

- **Continue maturity of Enterprise Architecture Model and integration with OCFO Strategic Planning**

- **Continue stakeholder engagement to include leveraging TUG**

Portfolio Discussion / IT Governance Framework

	Senior Information Officer	Information Management Officer	Change Control Board	Functional Review Board
Portfolio Planning	A	R	R	R
Investment Planning	A	R	R	R
Establish Metrics	A	C	R	R
Portfolio Reviews	A	C	R	R
Investment Reviews	A	C	R	R
Budget Planning	A	C	R	R
Acquisition Planning	A	C	R	R
Budget Execution	A	C	R	R

A Accountable: Final decision/authority

R Responsible: Does work needed to support accountable person decisions

C Consulted: Responsible parties consult these individuals

I Informed: Individual needs to be kept informed but has no active Role

M Mixed: This particular responsibility is variably assigned in the AA-ship

Today: Partial View: Compass | *To Be*: All Inclusive Look (Building Towards)

Initiatives to Include

- Account Code Structure
- Budget Formulation System
- Data Act
- Payment Processing Modernization/ Invoice Processing Platform (IPP)

Systems to Include

- All of OCFO
- Relevant OARM
- Relevant OEI
- Relevant Others

EPA

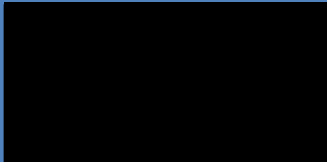***BO = Business Owner**
SO = System Owner

Start Date: 1997

End Date: 2018

CPIC Type: Lite

CPIC Phase: O&M

Hosted: Move to PY (OEI)

FITARA: No

TechStat: No

Next Acquisition

Deadline: N/A (being

replaced by BFS)

An integrated budgeting and performance management system for the entire agency, with the goal of supporting the development of congressional justifications, OMB submissions, operating plans, and other important budget functions that EPA offices require.

Primary beneficiaries include EPA, OMB, and Congress.

- Drivers for change: BAS was deployed 19 years ago on now antiquated client-server technology. It is being replaced by BFS, a flexible, web-based cloud application.
- Items for consideration in the FY18 budget formulation: N/A
- Key dependencies on OEI shared services: See BFS
- Other: Will be retired December, 2017, ACS schedule may impact

BFS – Budget Formulation System; BO/SO: Carol Terris

Start Date: 2014

End Date: 2030

CPIC Type: Lite

CPIC Phase: Mixed

Hosted: Azure Govt

FITARA: No

TechStat: No

Next Acquisition

Deadline: FY16,Q3.

An integrated budgeting and performance management system for the entire agency, with the goal of supporting the development of congressional justifications, OMB submissions, operating plans, and other important budget functions that EPA offices require. The project is also of interest to other federal agencies and we will work with them to review requirements to potentially develop a service provider version.

Primary beneficiaries include EPA, OMB, and Congress, and other federal agencies if successful in building partnerships.

- Drivers for change: BFS is replacing the agency's 19 year old BAS system with a flexible, web-based cloud application easily adaptable by other agencies.
- Items for consideration in the FY18 budget formulation: Key modules for development in 2018 are the Payroll Projection and Apportionment modules.
- Key dependencies on OEI shared services: We are coordinating with OEI on our connections to Azure (Microsoft Cloud)
- Other: New Contract Acquisition expected in FY 2017
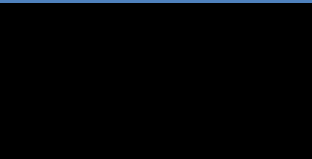
E-Enterprise Portal; BO/SO: Andrew Battin

Start Date: 2014

End Date: 2024

CPIC Type: Lite

CPIC Phase: O&M

Hosted: NCC

FITARA: No

TechStat: No

Next Acquisition Deadline:

Not IT, but Governance.

- Customer burden (FEA PRM Code P02.006.000)
- Number of datasets provided (FEA PRM Code P02.001.000)
- System availability (FEA PRM Code P13.002.000)
- Return on investment (FEA PRM Code P03.001.000)
- Adoption rate of reusable services (FEA PRM Code P05.004.000)

The primary customers are regulated entities and citizens. Additional stakeholders include state and tribal partner governments, EPA program office personnel who implement transactional services, and business groups or other organizations impacted by adjustments to service delivery in the environmental sector.

- Drivers for change: The portal supports EPA's cross-agency strategies of a new era of partnerships and embracing EPA as a high-performing organization. Federal drivers include customer service, performance reform, regulatory burden, digital government and shared services.
- Items for consideration in the FY18 budget formulation: DME for OEI, additional integration for program systems, EN Grants for state integration.
- Key dependencies on OEI shared services: Drupal Web CMS platform, CDX identity and web services, GeoPlatform, and SoR services, including FRS
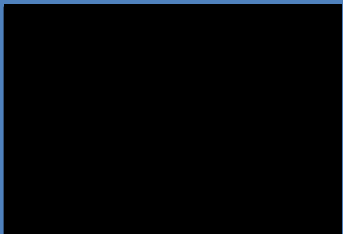
EPA

Start Date: 2004

End Date: 2025

CPIC Type: Major

CPIC Phase: O&M

Hosted: CGI's Phoenix

Data Center.

FITARA:

- June 2015 review of

PeoplePlus contract.

- July 2015 review of

COMPASS contract.

TechStat: No

Next Acquisition

Deadline: FY16Q3

FinRS is OCFO's ongoing maintenance of EPA's core financial systems and time & attendance system, supporting EPA's most critical business needs.

- Average response time for notifications of critical incidents or outages is <30 mins
- Average resolution rate of incidents
- Batch Cycle Availability
- Maintain percent availability of core financial system during core hours
- Maintain unqualified audit opinion on agency financial statements
- Customer satisfaction with financial system

The core component, COMPASS, supports 706 active EPA users.
The time & attendance system supports 15,681 active EPA users.

- Drivers for change: Compass was on an outdated version 6.4.2 which is no longer supported and we upgraded to version 7.3.1 which is the latest version. People Plus version 8.3 is no longer supported and we are upgrading to 9.2. Additional drivers include streamlining Payroll Cost Allocation and the implementation of the new Account Code Structure which will implement some Data Act Fields making it easier to implement.
- Items for consideration in the FY18 budget formulation:
- Key dependencies on OEI shared services:

16

PMS – Payment Management System; BO: Stefan Silzer; SO: Quentin Jones

The Payment Management Systems support activities that lead up to the payment stage, such as recording obligations and expenditures and establishing payables, but depend on the Core financial system to manage the actual payment process itself.

The primary beneficiaries of these systems are EPA's three National Finance Centers in Research Triangle Park, NC; Las Vegas, NV; and Cincinnati, OH.

Start Date: 2013

End Date: 2022

CPIC Type: Lite

CPIC Phase: O&M

Hosted: NCC

FITARA: No

TechStat: No

Next Acquisition

Deadline: N/A

Drivers for change:
- o 9 Legacy applications tied to finance centers (CPS, SPITS, WEBOS, IDOTS, BIS, GPAS, DCS, AMIS, FPS).
- o Continue to sustain O&M profile until applications are modernized.
- o Business Owners conducting lean process activities to gain efficiencies.
- o Outputs-new requirements and design to achieve a "To-Be" state under the Payment Processing Modernization initiative and the OMB mandate for IPP .
- •Items for consideration in the FY18 budget formulation:
- o DME funding needed in FY18 for the realignment of PMS components to new business processes.
- •Key dependencies on OEI shared services:
- o Remote access to PMS components relies on the use of tokens to access the network behind the firewall.
- o OEI shared services support OCFO FTP file server
- •Other: PMS continues in O&M as OCFO conducts process review/lean events. Coordinating with OARM.

EPA

The Superfund Imaging system, also known as SCORPIOS, is used to organize cost information and produce reports that summarize the costs for a specific Superfund Response, Brownfield Program, or Oil Spill site. Additionally, Federal Emergency Management Agency (FEMA) mission assignment costs can be tracked if a specific incident is assigned an identifier code.

Users include the 10 EPA Regions and four EPA Finance Centers. External parties who receive and rely on SCORPIOS reports are responsible Parties, State, & tribal agencies and organizations, USDOJ and other federal agencies, and federal and state courts.

- Drivers for change: The SCORPIOS application is instrumental in EPA's ability to perform Superfund Cost Recovery. It is approaching 20 years old and technology advances and program office requirements have rendered the application obsolete. By taking advantage of new technology and more tightly integrating with replaced administrative applications, EPA will be able to effectively support its Cost Recovery mission.
- Items for consideration in the FY18 budget formulation: TBD based on Alternatives Analysis which should be completed by July 2016
- Key dependencies on OEI shared services:
- Other: Partnering with OLEM and OECA

Start Date: 2012

End Date: 2019

CPIC Type: FY17 Lite

CPIC Phase: O&M

Hosted: NCC

FITARA: Yes

TechStat: No

Next Acquisition

Deadline: N/A

Key FY16 contract actions

SYSTEM	ACQ TITLE	▓▓▓▓▓▓▓▓	In FY15 ACQ Forecast? (Y/N)
E-Enterprise Portal	NA		
BFS/BAS	BFS Support Contract	▓▓▓▓	Yes
COMPASS	COMPASS Re-Compete:	▓▓▓	Yes
	Hosting, Licensing, and O&M		
Data Act Initiative	▓▓▓▓▓▓▓▓▓▓▓▓	▓▓▓▓▓ ▓▓	No
PMS	O&M Support	▓▓▓	No

Recurring hardware/software actions

E-Enterprise Portal   NA

BAS - Oracle Licensing for BAS through 2017 ▓▓▓

BAS - Citrix Licenses for BAS through 2017 ▓▓▓

OCFO has 278 Lotus Notes Applications

- 8 have already been deleted

- 168 are flagged for deletion (OEI is managing for OCFO)

- 62 are flagged for archive (records certification completed)

- 0 are on litigation hold

- 40 will migrate (Some may be deleted; Prioritization is underway; Target tool is either SharePoint or TBD)

Office of Environmental Information

OEI Services Discussion

- Digital Services Team
- Agile Acquisitions
- Fellowship Program

Areas OEI can support OCFO

1) Enterprise Tools:

    - Portfolio Management Solutions (PWA – Project Web App), (OTOP EPM-Live). Examples,

        -E-Enterprise tracks 30 projects and related metrics

        -OCFO System Project Management (see the dashboard handout)

2) Technical Network Solutions:

    A. IPP: Treasury -> NCC -> OCFO

    B. BFS/MS Azure Cloud via MTIPS – for 2nd server (CDW) (Need to do integration testing now to facilitate BFS drawing data from CDW.)

    C. Cloud – Longer term strategy

3) Data Analytics 4) Security Training Plan: Requirements for PISOs and ISSOs.

OCFO Applications in READ

Title	Acronym	Short Description
Budget Automation System	BAS	BAS is the central Agency system used to integrate strategic planning, annual planning, budgeting and financial management. BAS contains resource (dollars and FTE), planning and performance data.
Budget Formulation System	BFS	BFS will provide an integrated budgeting, planning and performance management system for the entire Agency.
Compass Financials IT System	Compass	Compass Financials is a web application developed by CGI Federal Inc. It provides the tools needed to effectively manage, budget and track expenditures.
Concur Government Edition	CGE	Concur Government Edition (CGE) is a shared E-Travel Program Management Office web-based Travel Service maintained by Concur Technologies. It provides Travel Services for all EPA employees.
E-Enterprise Portal	E-E Portal	The E-Enterprise Portal platform will provide a consolidated entry point for businesses and citizens efficiently locate, obtain access to, and interact with relevant EPA, State and Tribal environmental services.
Management Audit Tracking System	MATS	This system tracks audits issued by EPA's OIG that require follow-up action.
MoveLINQs	mLINQs	Permanent Change of Station (PCS) management system.
OCFO Payment Tracking System	OCFO-PTS	The Payment Tracking System (PTS) is a suite of applications that support the timely and accurate processing of EPA financial payments.
Office of Chief Financial Officer General Support System	OCFO GSS	The OCFO GSS is a multi-location general support infrastructure for developing, testing, and hosting applications developed for OCFO by the Office of Technology Solutions.
PeoplePlus	PPL	PeoplePlus (PPL) is the U.S. Environmental Protection Agency's (EPA) time & labor system which feeds the EPA's payroll function maintained by the Interior Business Center (IBC).
Superfund Cost Recovery Package Imaging and On-Line System	SCORPIOS	SCORPIOS is used to organize cost information and produce reports that summarize the costs for a specific Superfund or Oil site.

Info Resource Relationships Report

Registry of EPA Applications and Databases (READ)

Report Criteria: Primary Managing Organization: OCFO; **Include Secondary Managing Search:** False; **Info Resource Type:** Model, System or Application, Data Warehouse; **Ownership Type:** Internal; **CPIC Category:** CPIC Major, Not Applicable, Not Classified, Small/Other, CPIC Lite, CPIC Medium, Not Categorized; **CPIC Year:** 2015; **On Official System Invenory:** All; **Life-Cycle Phase:** Definition, Development or Acquisition, Implementation, Operations and Maintenance, Pre-Definition; **Info Resource:** ; **Relationship Type:** Parent, Child, Predecessor, Successor

OCFO - Action Items   To be completed at meeting

TOPIC	ACTIONS	POC	DUE DATE	COMMENTS
Budget Planning				
Acquisition Planning				
Performance Metric				
Bureau CIO				
Other				